



Governor's Office of Homeland Security

FY2005 Homeland Security Grant Program

Port Authority Guidance

July 27, 2005

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Dear Homeland Security Partners,

On October 18, 2004, the President signed the Department of Homeland Security (DHS) Appropriations Act of 2005. The 2005 appropriation by Congress is a firm commitment to continuing the work necessary to enhance the security of the United States of America against the threat posed by terrorism.

The DHS Appropriations Act of 2005 provides \$150 million for port security grants. These grants will provide assistance for physical security enhancements in the Nation's most at-risk seaports. The Fiscal Year (FY) 2005 Port Security Grant (PSG) Program reflects the intent of Congress and the Administration to create a sustainable effort for the protection of critical infrastructure from terrorism, especially explosives and non-conventional threats that would cause major disruption to commerce and significant loss of life.

The Office of State and Local Government Coordination and Preparedness (SLGCP), Office for Domestic Preparedness (ODP) has designed this program in coordination with federal partner agencies and industry, including the United States Coast Guard (USCG), the Information Analysis and Infrastructure Protection Directorate (IAIP), Border and Transportation Security Directorate (BTS) and the Transportation Security Administration (TSA) within DHS, the Maritime Administration (MARAD) within the Department of Transportation, and the American Association of Port Authorities (AAPA).

The FY 2005 PSG focuses on protection against small craft, underwater attacks and vehicle borne improvised explosive devices, enhanced explosives detection capabilities for the owners/operators of vehicle ferries and associated facilities, and facility security enhancements in the Nation's highest risk ports.

Attached is the Governor's Office of Homeland Security (OHS) FY 05 Homeland Security Grant Program (HSGP) – Port Authority Guidance, based on the guidelines established by Federal DHS. OHS has committed \$4,950,000 of the State's FY 05 HSGP grant award to further assist eleven California port authorities in the implementation of this Federal program.

We look forward to working with you as together we strive to protect critical infrastructure and key resources across California.

Sincerely,

Matthew Bettenhausen
Director

Overview

Federal Program

The FY 2005 DHS Appropriations Act provides funds for a competitive grant program to address physical security enhancements for critical national seaports. A priority for the PSG Program in FY 2005 is risk-based distribution of funding. As part of this focus on risk, the FY 2005 program will direct the available funds to the Nation's highest risk ports, thereby ensuring federally regulated ports, terminals and U.S. inspected passenger vessels receiving the funds represent assets of the highest strategic importance nationally. To identify the most at-risk seaports, ODP worked with the USCG and IAIP to develop the following risk formula:

$$\text{Risk} = \text{Consequence} \times \text{Vulnerability} \times \text{Threat}$$

The elements of each risk factor included:

- Consequence – people, economic, national security, port-specific special considerations (hazardous materials, oil);
- Vulnerability – distance from open water, number of port calls, presence of tankers; and,
- Threat – credible threats and incidents (intelligence community, USCG, less credible threats and incidents (operational indicators), vessels of interest.

The Nation's 129 largest volume ports were evaluated using this formula. Based on this risk-based evaluation, 11 port areas have been identified for inclusion in the FY 2005 PSG Program.

State Program

The Governor's Office of Homeland Security has determined eligibility and allocation of funds based on Federal Guidelines and has made available statewide an additional \$4.95 million in funding from its FY 05 HSGP grant award. The allocation for this additional funding is listed below.

The use of these additional funds is restricted to Physical Security Enhancement Equipment, CBRNE Logistical Support Equipment, Terrorism Incident Prevention Equipment, Interoperable Communications Equipment, Detection Equipment, Personal Protective Equipment and training.

Application Instructions

Eligible Ports, Amounts Awarded and Allocation	UASI	SHSGP
Port of Hueneme		\$450,000
Humboldt Bay Harbor District		\$150,000
Port of Long Beach	\$750,000	
Port of Los Angeles	\$750,000	
Port of Oakland	\$750,000	
Port of Redwood City		\$150,000
Port of Richmond	\$450,000	
Port of San Diego	\$750,000	
Port of San Francisco	\$450,000	
Port of Sacramento	\$150,000	
Port of Stockton		\$150,000
subtotals	\$4,050,000	\$900,000
Grand Total		\$4,950,000

What does the Application include?

The Application Package¹ includes the following items:

- Application Cover Sheet
- Signature Authority form
- Project description(s)
- Report of the status of prior year projects (for those Ports that received prior year Homeland Security funds)²

The Application Cover Sheet, Signature Authority form and Project description sheet may be found in Appendix B.

¹ The Governor's Office of Homeland Security (OHS) recently distributed letters to state organizations requesting a "Request for Proposal" (RFP) for HSGP 05. The application package and process described in this document fulfills that "RFP" request.

² This reporting requirement has been fulfilled if the port authority has submitted all Performance Reports required under prior year grants.

Continued on next page

Application Instructions, Continued

Who may sign the Application?

The application cover sheet must be signed by the highest level person at the port authority, or their designee. If a designee, the highest level person at the port authority must execute and submit a Signature Authority form with the Application Package.

NOTE: The *California Supplement* (see below) contains a state policy that an Approval Authority Body must be created, and that the Body must use a 20/20/20/40 funding distribution model. That state policy does not apply to port authorities.

Where are the Grant Guidance Documents and Assurances found?

Following is a list of HSGP 05 grant guidance documents and assurances, and where to get copies:

- The federal Department of Homeland Security's *Federal Program Guidelines and Application Kit* can be found at <http://www.ojp.gov/odp/docs/fy05hsgp.pdf>.
 - The *California Supplement to the Federal Program Guidelines and Application Kit* can be found at <http://www.oes.ca.gov> under "Grants and Funding".
 - The Grant Assurance form is contained in the *California Supplement*.
-

For which Programs may Port Authorities Apply?

Port authorities may apply for State Homeland Security Program (SHSP) and Urban Areas Security Initiative (UASI) funding under HSGP 05

What Activities are Eligible?

The federal and state guidance documents identify eligible activities. Additionally, the activities must be consistent with and supportive of California's State Homeland Security Strategy (Appendix A).

All projects are subject to Final approval of California Office of Homeland Security.

Continued on next page

Application Instructions, Continued

Are there any Special Conditions for any of the Programs?

If a port authority applies for any of the UASI allocation, the funds must be used to directly support one or more pre-selected* urban area(s). The application's UASI project description must describe the project AND identify the urban area(s) that will be supported by the project.

* The federal Department of Homeland Security (DHS) pre-selected nine eligible urban areas, and a list of those cities may be found in DHS' *Federal Program Guidelines and Application Kit*, or the *California Supplement to the Federal Program Guidelines and Application Kit*.

When are the Applications Due?

Applications should be received by Friday, August 19, 2005.

All components of the application must be mailed or delivered to:

California Office of Homeland Security
State Capitol
Sacramento, CA 95814

How will port authorities know if their Application has been Approved?

OHS will review all port authority applications and determine which projects will be funded at what level. A written notice will be sent to each applicant to inform them of the approval or denial of proposed projects.

How will Approved Applications Receive an Award of Funds?

Approved projects will be entered into the State's Initial Strategy Implementation Plan (ISIP).

Awards will be made after the ISIP has been approved by OHS, and valid Signature Authority and Grant Assurance forms are on file with OHS.

Questions?

All questions regarding HSGP 05 should be directed to the Governor's Office of Homeland Security (OHS) at (916) 324-8908.

Appendix A - State Homeland Security Strategy

Goal A: (Prevention) Enhance port security through early detection of and preparedness for responding to WMD events	
Objectives	Implementation Steps
A.1 Coordinate WMD planning efforts between Urban Areas and ports	A.1a Establish emergency coordination links with port authorities and emergency response agencies A.1b Coordinate vulnerability assessments with local agencies
A.2 Enhance emergency notifications between ports and emergency response agencies	A.2a Conduct communications exercise within 12 months to test links between ports and emergency response agencies A.2b Identify emergency communications shortfalls and methods to address within 24 months
A.3 Enhance coordination between port authorities and emergency response agencies	A.3a Participate in port WMD exercises scheduled for the next 12 months A.3b Participate in port WMD exercise after action reports

Goal B: (Prevention) Enhance mass transit security through early detection of and preparedness for responding to WMD events	
Objectives	Implementation Steps
B.1 Enhance WMD planning efforts with Urban Areas and mass transit agencies	B.1a Review and coordinate mass transit emergency plans with emergency response agencies within 24 months B.1b Identify coordination shortfalls within 24 months B.1c Revise and update procedures as needed
B.2 Train and exercise personnel on WMD preparedness and response	B.2a Review training and exercise needs annually B.2b Develop training and exercise plan in 12 months B.2c Conduct a coordinated mass transit/emergency responder WMD exercise within 24 months B.2d Incorporate After Action recommendations into emergency plans within 24 months after the exercise

Goal C: (Response) Coordinate WMD response activities with emergency medical and public health disciplines	
Objectives	Implementation Steps
C.1 Train and exercise personnel on WMD preparedness and response	C.1a Develop training and exercise plan within 24 months C.2b Annually review training and exercise needs, revise as necessary
C.2 Train and exercise emergency response personnel on WMD scenarios	C.2a Schedule statewide exercise for WMD within 6 months C.2b Conduct statewide exercise that involves emergency management, emergency medical services and public health agencies within 6 months C.3c Revise and update procedures within 24 months, based on after action critique of exercise

Goal D: (Planning/Response) Integrate the Standardized Emergency Management System (SEMS) with the National Incident Management System (NIMS)	
Objectives	Implementation Steps
D.1 Compare and contrast SEMS with NIMS	D.1a Review final NIMS documents within 2 months D.1b Identify differences within 3 months D.1c Identify methods for redressing differences by October 2004
D.2 Obtain NIMS compliance certification	D.2a Modify training and guidance materials for consistency by November 2004 D.2b Submit compliance procedures for certification by January 2005
D.3 Revise EOC procedures	D.3a Modify training and guidance materials for consistency by November 2004 D.3b Initiate changes in EOC by end of 2004

Goal E: (Planning) Institutionalize terrorism emergency planning in multi-hazard emergency planning and response processes

Objectives	Implementation Steps
E.1 Update the Emergency Plan Terrorism Annex	E.1a Reviewed Annex in 2003 E.1b Revision of Annex should be complete by June 2004
E.2 Update Local Planning Guidance on Terrorism	E.2a Review Guidance annually E.2b Revise guidance, as necessary E.2c Provide guidance to Operational Areas, local governments, special districts, community-based groups, and others
E.3 Incorporate Terrorism into Multi-Hazard Mitigation Plan	E.3a Review Mitigation Plan annually E.3b Revise plan, as necessary E.3c Submit revised plan to partner agencies for review
E.4 Develop/update EOC procedures needed to implement terrorism plans	E.4a Review procedures annually E.4b Update procedures, as necessary E.4c Identify and develop new plans and procedures, as needed
E.5 Exercise terrorism plans and procedures	E.5a Develop exercises E.5b Conduct exercises E.5c Evaluate exercises E.5d Complete After Action Reports
E.6 Integrate training and exercise programs	E.6a Link training and exercise objectives E.6b Use exercises to develop additional training needs E.6c Coordinate training and exercise plans
E.7 Train personnel on terrorism plans and procedures	E.7a Review training needs annually E.7b Develop or update training plan E.7c Obtain training consistent with plan and available resources E.7d Track and evaluate training plans, adjust as necessary

Goal F: (Planning/Preparedness) Enhance public outreach, education and training efforts to address terrorism events

Objectives	Implementation Steps
<p>F.1 Support the development and capabilities of Citizen Corps and other community-based organizations</p>	<p>F.1a Form Citizen Corps Councils or similar coordinating groups F.1b Provide guidance and training to Operational Areas, cities, community-based groups, and other local agencies F.1c Design public outreach, education, and communication tools and systems</p>
<p>F.2 Evaluate Citizen Corps and related programs for long-term effectiveness</p>	<p>F.2a Review and design improvements in data gathering, assessment, benchmarking and related methodologies to accomplish effective program effectiveness F.2b Review and design improvements in data gathering, assessment, benchmarking and related methodologies to accomplish effective program evaluation F.2c Review related methodologies to continuously present effective outreach programs F.2d Develop local Citizen Corps program strategic implementation plans and Volunteer Resource Management annexes at the OA level within two years</p>

Goal G (Response) Ensure emergency responders have the equipment necessary for multi-discipline response to terrorism events

Objectives	Implementation Steps
G.1 Administer the Homeland Security Grant program	G.1a Develop grant guidance package and submit grant application to Office for Domestic Preparedness (ODP) G.1b Provide ongoing training/technical assistance to all eligible entities G.1c Provide grant oversight and submit required reports G.1d Evaluate assessment data and identify potential statewide priorities
G.2 Administer state portion of equipment funds	G.2a Review equipment needs by discipline and/or agency and prioritize equipment needs consistent with available funding G.2b Monitor equipment procurement and submit required reports
G.3 Meet equipment related training needs	G.3a Identify equipment related training requirements G.3b Identify/develop courses meeting these requirements G.3c Provide training, consistent with needs and available funding

Goal H: (Planning/Response) Enhance regional response capabilities for terrorism events	
Objectives	Implementation Steps
H.1 Conduct regional exercises	H.1a Develop multi-year regional exercise schedule H.1b Develop and conduct regional exercises consistent with available funding H.1c Evaluate Operational Area assessment data and assess statewide exercise needs H.1d Evaluate state agency resources assessment data and assess statewide exercise needs
H.2 Evaluate regional response capabilities based on exercises	H.2a Develop/review regional response plans and procedures H.2b Review regional equipment shortfalls, prioritize, and fill gaps as appropriate H.2c Review regional training and exercise needs and opportunities, update as needed H.2d Assist Operational Areas in identifying potential regional training and exercise needs and opportunities

There is no Goal "I".

Goal J: (Planning) Establish compliance monitoring of all DHS grants

Objectives	Implementation Steps
J.1 Ensure all sub grantees comply with the requirements of the California Office of Homeland Security and Office of Emergency Services and ODP following grant management processes and procedures	J.1a Develop grant-specific guides and applications J.1b Develop the quarterly/semi-annual performance reports for local and state sub-grantees by June 15 and December 15 J.1c Review sub-grant applications within 30 days of receipt J.1d Review scope/budget revision requests within 30 days of receipt J.1e Review disbursement requests within 15 days of receipt J.1f Review grant performance reports within 15 days of receipt J.1g Provide notification to grant recipients of State administering agency actions (such as sub-award, scope/budget revisions, disbursement status, and performance report reviews) within 15 days of completion of review J.1h Provide on-going technical assistance to local and state sub-grantees by establishing a centralized phone line and email account J.1i Perform on-going periodic grant compliance reviews of material sub-grant activities and recommend corrective actions as necessary J.1j Prepare grant performance and financial reports as required and/or requested by federal, state, congressional, and legislative entities J.1k Implement a secure, web-enabled grant management system to allow California's eligible sub-grantees to apply for and request funding as well as enhance the State's administering agency's ability to communicate, monitor and report sub-grant performance through digital exchange of data within 24 months

Goal K: (Prevention) Enhance threat assessment sharing and evaluation efforts to deter, prevent, and respond to terrorism events

Objectives	Implementation Steps
K.1 Support threat assessment collection, analysis, and dissemination operations	K.1a Review threat assessment operations and procedures annually K.1b Update or expand operations or procedures as necessary K.1c Coordinate with relevant State Agencies on their threat assessment operations oversight compliance
K.2 Meet threat assessment/prevention related training and exercise needs	K.2a Annually identify threat assessment/prevention related training and exercise needs K.2b Identify and develop training courses and/or exercise events meeting these needs K.2c Make training and exercise opportunities available, consistent with needs and available funding
K.3 Meet threat assessment/prevention related equipment and capital improvement needs	K.3a Annually review threat assessment/prevention equipment needs K.3b Provide grant oversight by working with appropriate state agencies to provide equipment needs consistent with available funding K.3c Annually identify prevention related capital improvements and funding to implement

Goal L: (Recovery) Incorporate Recovery element in all plans and procedures to ensure capability to recover from a terrorism incident

Objectives	Implementation Steps
L.1 All jurisdictions will develop, review, or update appropriate plans to include Recovery	L.1a Annually review all plans/annexes L.1b Develop procedures as necessary L.1c Review procedures annually as needed L.1d Update procedures as necessary L.1e Identify and develop new procedures
L.2 Train and exercise personnel on Recovery procedures	L.2a Review training and exercise needs annually L.2b Develop training and exercise plan L.2c Obtain training and exercises consistent with plans and available resources L.2d Incorporate recovery aspects into local, regional and statewide training and exercises

Goal M: (Prevention/Critical Infrastructure) Enhance security at all identified critical infrastructure sites

Objectives	Implementation Steps
M.1 Update list of all critical infrastructure sites in California, or affecting California's security	M.1a Review current list of sites M.1b Create comprehensive list of sites and integrate federal and state assessments M.1c Periodically review and update list as needed
M.2 Assess the vulnerability of all critical infrastructure sites in California	M.2a Conduct vulnerability assessments in conjunction with federal efforts M.2b Coordinate vulnerability assessments with local agencies
M.3 Enhance security at all critical infrastructure sites in California	M.3a Prioritize available resources for potential equipment, training and/or exercise needs M.3b Conduct additional vulnerability assessments as needed

Goal N: (Communications Interoperability) Develop and implement a comprehensive voice and data Interoperability Communications Plan and coordination system for all jurisdictions within California	
Objectives	Implementation Steps
N.1 Develop a Statewide Communications Interoperability Plan Voice Communications Component	N.1a Establish a statewide Interoperability committee by yearend N.1b Prioritize available resources for potential equipment, training and/or exercise needs (ongoing)
N.2 Investigate existing capabilities in the state and local first responder agencies	N.2a Conduct an assessment of existing capabilities in the state and local first responder agencies within 1 year N.2b Conduct additional vulnerability assessments as needed
N.3 Develop a Statewide Interoperability Voice Communications Plan with required training and operational job assistance materials	N.3a Develop guidance and approval standards for Local Communications Interoperability Plans within 1 - 2 years N.3b Develop a Statewide Interoperability Voice Communications component within 2 years N.3c Develop training curriculum and job aids for public safety first responders within 2 years N.3d Develop and conduct local and regional interoperability communications exercises (ongoing) N.3e Implement new interoperability spectrum in 700 MHz (estimated ready by 2007) N.3f Implement a statewide wireless data communications governance system to provide data interoperability for all first responders (beginning in 2005)

Goal O: (Response) Provide a fully operational state-of-the-art satellite statewide (OASIS) system that supports EOC and emergency operations during WMD and other disaster scenarios

Objectives	Implementation Steps
O.1 Develop a system that supports simultaneous toll-quality voice, high speed data (1.2 Mbps) and broad case video service that integrates federal, state and local agencies during emergencies	O.1a Develop an OASIS upgrade study within 12 months that includes: <ul style="list-style-type: none"> - engineering specifications - equipment inventory - training plan - bid specifications

Goal P: (Preparedness) Enhance the coverage of the Emergency Alert System (EAS) to provide warning alerts and notifications to every area in the State, including Amber Alert child abductions.

Objectives	Implementation Steps
P.1 Enhance the CLERS network to provide coverage to include the entire state	P.1a Identify the locations statewide that do not radio coverage on the CLERS network P.1b Install repeaters on the CLERS network which are capable of broadcasting emergency notifications in those areas not currently covered
P.2 Enhance the capability of the Local Primary broadcasters (LP1) to disseminate emergency alerts and warnings	P.2a Identify the LP1s currently without EAS equipment capable of receiving, decoding or re-broadcasting emergency notifications to the media and assist those LP1s in updating their equipment
P.3 Upgrade the CLERS network to reduce or eliminate system failures	P.3a Identify and replace outdated radio equipment currently being used on the CLERS network

Goal Q: Enhance EDIS to provide notifications and alerts directly to individuals who are now required to subscribe to this service from a third party delivery system

Objectives	Implementation Steps
Q.1 Enhance State’s EDIS delivery system to include individuals who subscribe to alert service	Q.1a Identify and implement a method by which EDIS notifications and alerts can be provided to individuals via the State’s system and not a third party

Goal R: (Response) Encourage State and local agencies to develop satellite capabilities to support their specific operational needs

Objectives	Implementation Steps
R.1 Encourage the development of systems that supports simultaneous toll-quality voice, high speed data (1.2 Mbps) and other service for use by state and local agencies that provide interoperability, continuity of tactical operations, and incident management	R.1a Identify systems, protocols, processes, and other resources toward the development of agency specific development of satellite based tactical continuity of operations, incident management, and interoperability consistence with the agencies’ operational requirements

Appendix B - Forms

- Application Cover Sheet
- Signature Authority Form
- Project Description(s)

FY05 Homeland Security Grant Program (HSGP)
Application Cover Sheet for Port Authorities - Applicant _____

Authorized Agent Information:

Mailing Address

City, State, Zip Code

Contact Information:

Name/Title

Area Code/Office Telephone Number

E-Mail Address

Funding Source	Requested	Approved (for OHS use only)
State Homeland Security Program	\$ _____	\$ _____
Urban Areas Security Initiative	\$ _____	\$ _____
Total	\$ _____	\$ _____

Statement of Certification - Authorized Agent

By signing below, I hereby certify I am the Authorized Agent and have the authority to apply for the FY 2005 Homeland Security Grant Program, and this port authority's application represents the needs for the State Homeland Security Program and Urban Areas Security Initiative program, as applicable.

Signature of Authorized Agent

Printed Name

Title

Date

For State use ONLY

Application reviewed/Grant award approved by: _____
Name Date

Grant Performance Period: _____

OES ID # _____ Grant # _____

Signature Authority

AS THE _____
(Secretary/Director / President / Chancellor)

OF THE _____
(Name of State Organization)

I hereby authorize the following individual(s) to execute for and on behalf of the named port authority, any actions necessary for the purpose of obtaining federal financial assistance provided by the federal Department of Homeland Security and subgranted through the California Governor's Office of Emergency Services.

_____, *OR*
(Name or Title of Authorized Agent)

_____, *OR*
(Name or Title of Authorized Agent)

_____,
(Name or Title of Authorized Agent)

Signed and approved this _____ day of _____, 20____

(Official Position)

(Signature)

(Date)

Project Description
FY 2005 Homeland Security Grant Program
Applicant (port authority) _____

NOTE: Complete a separate Project Description for each proposed project

Project Title: _____

State Strategy Goal and Objective Supported by the Project: _____

Provide a detailed description of the proposed project and how it supports the state priority indicated.

For construction and/or renovation projects, provide the following additional information:

- A description and location of the facility;
- A description of the vulnerability assessment that has already been conducted of the facility, and the date of the assessment (the assessment does not have to be submitted with the application);
- A description of how the proposed project will address the vulnerabilities identified in the assessment;
- A description of the consequences if the project is not funded under HSGP 05.

Indicate the requested funding, by program:

SHSP \$ _____ UASI \$ _____

For UASI funding, indicate the Urban Area(s) supported by the project: _____